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UNITED STATES DISTRICT COURT  
SOUTHERN DISTRICT OF NEW YORK

SEAN WARAICH

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Write the full name of each plaintiff.

\_\_\_\_ CV \_\_\_\_  
(Include case number if one has been assigned)

-against-

**COMPLAINT**

NATIONAL AUSTRALIA BANK LTD., and

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COMMODITY FUTURES TRADING COMMISSION

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REPARATIONS PROGRAM

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Do you want a jury trial?

☐ Yes ☒ No

Write the full name of each defendant. If you need more space, please write "see attached" in the space above and attach an additional sheet of paper with the full list of names. The names listed above must be identical to those contained in Section II.

**NOTICE**

The public can access electronic court files. For privacy and security reasons, papers filed with the court should therefore *not* contain: an individual's full social security number or full birth date; the full name of a person known to be a minor; or a complete financial account number. A filing may include *only*: the last four digits of a social security number; the year of an individual's birth; a minor's initials; and the last four digits of a financial account number. See Federal Rule of Civil Procedure 5.2.

## I. BASIS FOR JURISDICTION

Federal courts are courts of limited jurisdiction (limited power). Generally, only two types of cases can be heard in federal court: cases involving a federal question and cases involving diversity of citizenship of the parties. Under 28 U.S.C. § 1331, a case arising under the United States Constitution or federal laws or treaties is a federal question case. Under 28 U.S.C. § 1332, a case in which a citizen of one State sues a citizen of another State or nation, and the amount in controversy is more than \$75,000, is a diversity case. In a diversity case, no defendant may be a citizen of the same State as any plaintiff.

What is the basis for federal-court jurisdiction in your case?

☐ Federal Question

☒ Diversity of Citizenship

### A. If you checked Federal Question

Which of your federal constitutional or federal statutory rights have been violated?

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### B. If you checked Diversity of Citizenship

#### 1. Citizenship of the parties

Of what State is each party a citizen?

The plaintiff, Sean Waraich, is a citizen of the State of  
(Plaintiff's name)

Texas

(State in which the person resides and intends to remain.)

or, if not lawfully admitted for permanent residence in the United States, a citizen or subject of the foreign state of

\_\_\_\_\_.

If more than one plaintiff is named in the complaint, attach additional pages providing information for each additional plaintiff.

If the defendant is an individual:

The defendant, \_\_\_\_\_, is a citizen of the State of  
(Defendant's name)

\_\_\_\_\_  
or, if not lawfully admitted for permanent residence in the United States, a citizen or  
subject of the foreign state of

\_\_\_\_\_  
If the defendant is a corporation:

The defendant, National Australia Bank Ltd., is incorporated under the laws of  
the State of \_\_\_\_\_

and has its principal place of business in the State of \_\_\_\_\_

or is incorporated under the laws of (foreign state) Victoria, Australia

and has its principal place of business in New York City, New York.

If more than one defendant is named in the complaint, attach additional pages providing  
information for each additional defendant.

## II. PARTIES

### A. Plaintiff Information

Provide the following information for each plaintiff named in the complaint. Attach additional  
pages if needed.

<u>Sean</u>	<u>N</u>	<u>Waraich</u>
First Name	Middle Initial	Last Name
<u>2516 Commonwealth St., #201</u>		
Street Address		
<u>Harris County, Houston</u>	<u>TX</u>	<u>77006</u>
County, City	State	Zip Code
<u>832-229-1652</u>	<u>snwseas@gmail.com</u>	
Telephone Number	Email Address (if available)	

**B. Defendant Information**

To the best of your ability, provide addresses where each defendant may be served. If the correct information is not provided, it could delay or prevent service of the complaint on the defendant. Make sure that the defendants listed below are the same as those listed in the caption. Attach additional pages if needed.

Defendant 1:	<div style="border-bottom: 1px solid black; padding-bottom: 5px;">National Australia Bank Ltd. (NAB)</div> <div style="display: flex; justify-content: space-between; border-bottom: 1px solid black; padding-bottom: 5px;"> <span>First Name</span> <span>Last Name</span> </div> <div style="border-bottom: 1px solid black; padding-bottom: 5px;">NAB Retail Forex Client Trust Custodian Acct</div> <div style="border-bottom: 1px solid black; padding-bottom: 5px;">Current Job Title (or other identifying information)</div> <div style="border-bottom: 1px solid black; padding-bottom: 5px;">Level 4 (UB4440), 800 Bourke Street</div> <div style="border-bottom: 1px solid black; padding-bottom: 5px;">Current Work Address (or other address where defendant may be served)</div> <div style="display: flex; justify-content: space-between; border-bottom: 1px solid black; padding-bottom: 5px;"> <span>Docklands</span> <span>Victoria, AUS</span> <span>3008</span> </div> <div style="display: flex; justify-content: space-between; padding-bottom: 5px;"> <span>County, City</span> <span>State</span> <span>Zip Code</span> </div>
Defendant 2:	<div style="border-bottom: 1px solid black; padding-bottom: 5px;">Commodity Futures Trading Commission (CFTC) Reparations Program</div> <div style="display: flex; justify-content: space-between; border-bottom: 1px solid black; padding-bottom: 5px;"> <span>First Name</span> <span>Last Name</span> </div> <div style="border-bottom: 1px solid black; padding-bottom: 5px;">Federal Agency</div> <div style="border-bottom: 1px solid black; padding-bottom: 5px;">Current Job Title (or other identifying information)</div> <div style="border-bottom: 1px solid black; padding-bottom: 5px;">1155 21st Street, N.W.</div> <div style="border-bottom: 1px solid black; padding-bottom: 5px;">Current Work Address (or other address where defendant may be served)</div> <div style="display: flex; justify-content: space-between; border-bottom: 1px solid black; padding-bottom: 5px;"> <span>Washington</span> <span>D.C.</span> <span>20581</span> </div> <div style="display: flex; justify-content: space-between; padding-bottom: 5px;"> <span>County, City</span> <span>State</span> <span>Zip Code</span> </div>
Defendant 3:	<div style="border-bottom: 1px solid black; padding-bottom: 5px;"></div> <div style="display: flex; justify-content: space-between; border-bottom: 1px solid black; padding-bottom: 5px;"> <span>First Name</span> <span>Last Name</span> </div> <div style="border-bottom: 1px solid black; padding-bottom: 5px;"></div> <div style="border-bottom: 1px solid black; padding-bottom: 5px;">Current Job Title (or other identifying information)</div> <div style="border-bottom: 1px solid black; padding-bottom: 5px;"></div> <div style="border-bottom: 1px solid black; padding-bottom: 5px;">Current Work Address (or other address where defendant may be served)</div> <div style="display: flex; justify-content: space-between; border-bottom: 1px solid black; padding-bottom: 5px;"> <span></span> <span></span> <span></span> </div> <div style="display: flex; justify-content: space-between; padding-bottom: 5px;"> <span>County, City</span> <span>State</span> <span>Zip Code</span> </div>

Defendant 4:

First Name

Last Name

Current Job Title (or other identifying information)

Current Work Address (or other address where defendant may be served)

County, City

State

Zip Code

**III. STATEMENT OF CLAIM**Place(s) of occurrence: Harris County, Houston, Texas USADate(s) of occurrence: August 23, 2017; April 20, 2018; September 17, 2018**FACTS:**

State here briefly the FACTS that support your case. Describe what happened, how you were harmed, and what each defendant personally did or failed to do that harmed you. Attach additional pages if needed.

Plaintiff's capital fund assets remain in Defendant NAB custodianship and under NAB maintenance that NAB has refused and resisted to remittance return to Plaintiff, instead contending to give right of access to unauthorized and illegal operative retail forex merchant dealers affirmed to be non-compliance registered solicitors in violation of the United States Commodity Exchange Act, that Defendant NAB concedes in pursuit of such schemes to be their inner-operative clients and fiduciary affiliates. NAB has continued to wrongfully withhold and defraud Plaintiff's funds intending to designate the cause of an investment forex scam as the sole illegal beneficiary and claimant of Plaintiff's own personal equity funds. The notices Plaintiff has given Defendant NAB to cease from doing so has only been ignored and disregarded. The statutes of the U.S. Commodity Exchange Act decrees for Defendant to be an unlawful custodian of Plaintiff's investment funds and strictly prohibits Defendant NAB to procure or transfer any amount of the cited funds by illicit design of such scam devices other than to the Plaintiff himself.

The Commodity Futures Trading Commission (CFTC) affirms the Regulation of Off-Exchange Retail Forex of the Commodity Exchange Act to have general jurisdiction over the subject matter and case

parties in restitution complaint, however for rendering of final adjudication and final discovery, the Regulation of Off-Exchange Retail Forex rules and regulations was deemed ineligible and excluded due to NAB only being compliance registered regulated as an institutional swap dealer to Eligible Contract Participants, (non-retail), clients in the United States, thus requiring the Plaintiff to be a non-retail institutional participant within the forum of the reparations J.O., constituting a clear jurisdictional defect of the scope and brevity of Plaintiff's complaint, thus disqualifying term provisions of the voluntary proceeding, to necessitate final adjudication of restitution order previously ruled eligible by the Director of the CFTC Office of Proceedings, (as it applied to Plaintiff's stated actual damages).

Complaint and Proposed Orders Attached. .

#### **INJURIES:**

If you were injured as a result of these actions, describe your injuries and what medical treatment, if any, you required and received.

#### **IV. RELIEF**

State briefly what money damages or other relief you want the court to order.


For the Plaintiff's filed Proposed Orders to be Granted; mandating Defendant NAB to remit actual damages and applicable punitive damages to Plaintiff by restitution order.

**V. PLAINTIFF'S CERTIFICATION AND WARNINGS**

By signing below, I certify to the best of my knowledge, information, and belief that: (1) the complaint is not being presented for an improper purpose (such as to harass, cause unnecessary delay, or needlessly increase the cost of litigation); (2) the claims are supported by existing law or by a nonfrivolous argument to change existing law; (3) the factual contentions have evidentiary support or, if specifically so identified, will likely have evidentiary support after a reasonable opportunity for further investigation or discovery; and (4) the complaint otherwise complies with the requirements of Federal Rule of Civil Procedure 11.

I agree to notify the Clerk's Office in writing of any changes to my mailing address. I understand that my failure to keep a current address on file with the Clerk's Office may result in the dismissal of my case.

Each Plaintiff must sign and date the complaint. Attach additional pages if necessary. If seeking to proceed without prepayment of fees, each plaintiff must also submit an IFP application.

6-10-2021			
Dated		Plaintiff's Signature	
Sean	N	Waraich	
First Name	Middle Initial	Last Name	
2516 Commonwealth St., #201			
Street Address			
Harris County, Houston		TX	77006
County, City		State	Zip Code
832-229-1652		snwseas@gmail.com	
Telephone Number		Email Address (if available)	

I have read the Pro Se (Nonprisoner) Consent to Receive Documents Electronically:

☒ Yes   ☐ No

If you do consent to receive documents electronically, submit the completed form with your complaint. If you do not consent, please do not attach the form.

Defendant is a federal agency:

The defendant, CFTC Reparations Program, is incorporated under the laws of  
United States of America

and has its principal place of business in the State of District of Columbia

or is incorporated under the laws of (foreign state) \_\_\_\_\_

and has its principal place of business in \_\_\_\_\_.





**United States District Court  
Southern District of New York**

## **Pro Se (Nonprisoner) Consent to Receive Documents Electronically**

Parties who are not represented by an attorney and are not currently incarcerated may choose to receive documents in their cases electronically (by e-mail) instead of by regular mail. Receiving documents by regular mail is still an option, but if you would rather receive them only electronically, you must do the following:

1. Sign up for a PACER login and password by contacting PACER<sup>1</sup> at [www.pacer.uscourts.gov](http://www.pacer.uscourts.gov) or 1-800-676-6856;
2. Complete and sign this form.

If you consent to receive documents electronically, you will receive a Notice of Electronic Filing by e-mail each time a document is filed in your case. After receiving the notice, you are permitted one “free look” at the document by clicking on the hyperlinked document number in the e-mail.<sup>2</sup> Once you click the hyperlink and access the document, you may not be able to access the document for free again. After 15 days, the hyperlink will no longer provide free access. Any time that the hyperlink is accessed after the first “free look” or the 15 days, you will be asked for a PACER login and may be charged to view the document. For this reason, *you should print or save the document during the “free look” to avoid future charges.*

### **IMPORTANT NOTICE**

Under Rule 5 of the Federal Rules of Civil Procedure, Local Civil Rule 5.2, and the Court’s Electronic Case Filing Rules & Instructions, documents may be served by electronic means. If you register for electronic service:

1. You will no longer receive documents in the mail;
2. If you do not view and download your documents during your “free look” and within 15 days of when the court sends the e-mail notice, you will be charged for looking at the documents;
3. This service does *not* allow you to electronically file your documents;
4. It will be your duty to regularly review the docket sheet of the case.<sup>3</sup>

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<sup>1</sup> Public Access to Court Electronic Records (PACER) ([www.pacer.uscourts.gov](http://www.pacer.uscourts.gov)) is an electronic public access service that allows users to obtain case and docket information from federal appellate, district, and bankruptcy courts, and the PACER Case Locator over the internet.

<sup>2</sup> You must review the Court’s actual order, decree, or judgment and not rely on the description in the email notice alone. See ECF Rule 4.3

<sup>3</sup> The docket sheet is the official record of all filings in a case. You can view the docket sheet, including images of electronically filed documents, using PACER or you can use one of the public access computers available in the Clerk’s Office at the Court.

**CONSENT TO ELECTRONIC SERVICE**

I hereby consent to receive electronic service of notices and documents in my case(s) listed below. I affirm that:

1. I have regular access to my e-mail account and to the internet and will check regularly for Notices of Electronic Filing;
2. I have established a PACER account;
3. I understand that electronic service is service under Rule 5 of the Federal Rules of Civil Procedure and Rule 5.2 of the Local Civil Rules, and that I will no longer receive paper copies of case filings, including motions, decisions, orders, and other documents;
4. I will promptly notify the Court if there is any change in my personal data, such as name, address, or e-mail address, or if I wish to cancel this consent to electronic service;
5. I understand that I must regularly review the docket sheet of my case so that I do not miss a filing; and
6. I understand that this consent applies only to the cases listed below and that if I file additional cases in which I would like to receive electronic service of notices of documents, I must file consent forms for those cases.

**Civil case(s) filed in the Southern District of New York:**

**Note:** This consent will apply to all cases that you have filed in this court, so please list all of your pending and terminated cases. For each case, include the case name and docket number (for example, John Doe v. New City, 10-CV-01234).

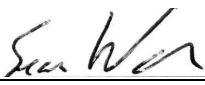
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Waraich, Sean, N

Name (Last, First, MI)

2516 Commonwealth St., #201	Houston	TX	77006
Address	City	State	Zip Code
832-229-1652	snwseas@gmail.com		
Telephone Number	E-mail Address		
6-10-2021			
Date	Signature		

**Return completed form to:**

Pro Se Intake Unit (Room 200)  
500 Pearl Street  
New York, NY 10007